



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Don Whitehead et al. )  
SERIAL NUMBER: 09/431,737 ) Group Art Unit: 2121  
FILED: November 1, 1999 ) Examiner:  
 ) Thomas K. Pham  
FOR: MAN MACHINE INTERFACE )  
FOR POWER MANAGEMENT )  
CONTROL SYSTEMS )

PETITION UNDER 37 CFR 1.47(a) OR  
IN THE ALTERNATIVE UNDER 37 CFR 1.182

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this correspondence was deposited with the United States Postal Service as first class mail in an envelope addressed to Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on	
August 20, 2003 (Date of Deposit)	
Marianne S. Carello (Name of Person Mailing Paper)	
Marianne S. Carello	8/20/03
Signature	Date

Sir:

This is in response to the Notice To File Corrected Application Papers dated July 21, 2003 issued in the above-identified application, wherein Applicant requests reconsideration and waiver of the Formal requirement. The Notice identifies that inventors #7, #8, and #11, are identified by initials and not full names.

The present application includes 11 inventors, of whom 10 have been unreachable since at least June 2, 2000, including the 3 subject inventors (inventors #7, #8 and #11) presently identified by initials and not full names. The present application is a continuation application of parent U.S. Patent Application Serial No. 08/628,533, filed

RECEIVED/0003 08/20/03 09/431737

09/431737

130.60 CP

1

Serial Number 09/431,737  
41PR-7349 / 96-1165-A

RECEIVED

AUG 25 2003

OFFICE OF PETITIONS

April 3, 1996, which included a signed declaration from all 11 inventors. The inventorship in the present application is identical to the parent, but was filed with Missing Parts. On June 2, 2000, a Submission Of Declaration In Accordance With 37 CFR 1.63(d) And Petition According To 37 CFR 1.47(a) (hereinafter, Submission and Petition) was filed in the present application requesting acceptance of a copy of the parent declaration in lieu of a new declaration. Prosecution proceeded on the present case through Allowance until the subject July 21, 2003, Notice was received.

In preparation for the June 2, 2000, Submission and Petition, Applicants' attorneys mailed to their last known addresses all of the 10 unreachable inventors, including the three subject inventors, a copy of the specification along with unsigned Assignment and Declaration forms for them to sign and return. None of the 10 inventors responded. In the time period from April 3, 1996, through June 2, 2000, the three subject inventors were residing in India with no reasonable way to track them down.

The Submission and Petition filed June 2, 2000, also included a copy of a declaration executed by Don Whitehead, the sole available inventor at that time, with the signature blocks left blank to indicate that Mr. Whitehead had signed on behalf of the unavailable inventors in accordance with MPEP 409.03(a).

Since receiving the Notice To File Corrected Application Papers on July 24, 2003, Applicant has successfully identified two of the three missing inventor names as Subba Lakshmi (inventor #7) and Venkatarao Kandula (inventor #8), which have been submitted to the Commissioner for Patents in a separate paper in a Response To Notice To File Corrected Application Papers filed concurrently herewith. The process for identifying the names of inventors #7 and #8 involved: corresponding with a person in India who searched for and located the parents of inventor #10; procuring from the parents of inventor #10 contact information for inventor #10; contacting inventor #10 for information relating to the full names or whereabouts of inventors #7, #8, and #11; receiving from inventor #10 information relating to the full name of inventor #7; receiving from inventor #10 contact information relating to inventor #8; and, contacting inventor #8 for information relating to the inventor's full name. Efforts to apply the same process to identify the full name of inventor #11 have been unsuccessful to date.

Additional attempts have been made by Applicant to locate the full names of the three subject inventors in employment records, but Applicant has discovered that none of the three inventors are listed in any employment records available to Applicant. Recently, Applicants' attorneys have discovered from Applicant that the three subject inventors were hired, on or before April 3, 1996, through a consulting company in India, name unknown, to work for a Joint Venture (JV) company formed between General Electric Co. (GE) of the U.S. and Satyam of India, named Satyam-GE. The India portion of the JV has since been bought by GE, and it is unknown whether the consulting company is still in existence. Efforts are presently underway in an attempt to identify and locate the consulting company with the hope that they may still have employment records dating back to 1996. In addition, efforts are presently underway in an attempt to locate the three subject inventors by their last name and last known address as possibly listed in a telephone directory in India.

At present, the third subject inventor, inventor #11, is believed to be currently residing in India with an employer other than the noted consulting company being highly possible, and there does not appear to be any reasonable way to track that person down.

In view of the foregoing, Applicant respectfully requests that the name of the third subject inventor (inventor #11), with initials and signatures, be accepted as is, and that the application be allowed to issue.

This petition is also accompanied by a Fee Transmittal indicating the inclusion of a \$130.00 fee in accordance with 37 CFR 1.47(a) or in the alternative 37 CFR 1.182, and 37 CFR 1.17(h). However, in the event the Commissioner of Patents deems that any additional fee is required in connection with this application, Applicants' attorneys authorize that such fee be charged to Deposit Account No. 06-1130. Please direct any inquiries to the undersigned.

In the event that an extension of time is required, or may be required in addition to that requested in a petition for extension of time, the Commissioner is requested to grant a petition for that extension of time that is required to make this response timely and is hereby authorized to charge any fee for such an extension of time or credit any overpayment for an extension of time to the above identified Deposit Account.

Respectfully submitted,

CANTOR COLBURN LLP

Applicant's Attorneys

By: 

David Arnold  
Registration No: 48,894  
Customer No. 23413

Date: August 20, 2003  
Address: 55 Griffin Road South, Bloomfield, Connecticut 06002  
Telephone: (860) 286-2929  
Fax: (860) 286-0115

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**Applicant(s): **WHITEHEAD et al.**

Docket No.

41PR-7349 (96-1165-A)

Serial No.  
09/431,737Filing Date  
11/01/1999Examiner  
PHAM, Thomas K.Group Art Unit  
2121

Invention:

**MAN MACHINE INTERFACE FOR POWER MANAGEMENT CONTROL SYSTEMS**I hereby certify that this Petition (4 pages), Fee Transmittal (1 page), Check for \$130, Return Postcard  
(Identify type of correspondence)is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Mail Stop Petition,  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 20, 2003  
(Date)Marianne S. Carello

(Typed or Printed Name of Person Mailing Correspondence)

Marianne A. Carello  
(Signature of Person Mailing Correspondence)

Note: Each paper must have its own certificate of mailing.

**RECEIVED**

AUG 25 2003

**OFFICE OF PETITIONS**

P07AIREV03



PTO/SB/17 (5-03)

Approved for use through 04/30/2003. OMB 0551-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2003**

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

\$130.00

**Complete if Known**

Application Number	09/431,737
Filing Date	11/01/1999
First Named Inventor	Don Whitehead
Examiner Name	Thomas K. Pham
Group Art Unit	2121
Attorney Docket No.	41PR-7349 (96-1165-A)

**METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account

Deposit Account Number 06-1130

Deposit Account Name Cantor Colburn LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

**2. EXTRA CLAIM FEES FOR UTILITY AND**

Extra Claims		Fee from below	Fee Paid
Total Claims	-20** = 0 X		0.00
Independent Claims	-3** = 0 X		0.00
Multiple Dependent			

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non - English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130.00
1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Statement	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

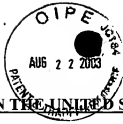
\$130.00

**SUBMITTED BY**Name (Print/Type) David Arnold  
Signature Registration No. 48,894  
(Attorney/Agent)**Complete if applicable**Telephone (860) 258-7111  
Date August 26, 2003**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to be (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

**RECEIVED****OFFICE OF PETITIONS**



7050 M.15  
4700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: WHITEHEAD et al. )  
SERIAL NUMBER: 09/431,737 ) Group Art Unit: 2121  
FILED: November 11, 1999 ) Examiner:  
FOR: MAN MACHINE INTERFACE FOR ) PHAM, Thomas K.  
POWER MANAGEMENT CONTROL )  
SYSTEMS )

Box Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

In response to the Notice to File Corrected Application Papers dated July 21, 2003,  
Applicants respectfully submit the full legal names for the 7<sup>th</sup> and 8<sup>th</sup> listed inventors.

The full name for Applicant No. 7 is Subba Lakshmi.

The full name for Applicant No. 8 is Venkatarao Kandula.

Enclosed herewith please find:

- 1.) A copy of the Notice to File Corrected Application Papers dated July 21, 2003

I hereby certify that this correspondence was deposited  
with the United States Postal Service as first class mail in  
an envelope addressed to Box Issue Fee, Commissioner  
for Patents, P.O. Box 1450, Alexandria, VA 22313-1450  
on

August 20, 2003  
(Date of Deposit)

Marianne S. Carello  
(Name of Person Mailing Paper)

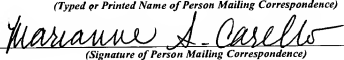
Signature *Marianne S. Carello* Date *8/20/03*

**RECEIVED**

DEC 04 2003

**OFFICE OF PETITIONS**

4700 DBLO

<b>CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)</b>			Docket No. 41PR-7349 (96-1165-A)	
Applicant(s): <u>WHITEHEAD et al.</u>				
Serial No. 09/431,795	Filing Date 11/01/1999	Examiner PHAM, Thomas K.	Group Art Unit 2121	
Invention: <b>MAN MACHINE INTERFACE FOR POWER MANAGEMENT CONTROL SYSTEMS</b>				
<p>I hereby certify that this <u>Response (2 pgs), Copy of Notice to File Corrected Papers (1 pg), Return Postcard</u>  <small>(Identify type of correspondence)</small></p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to:            Box Issue Fee,            Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>August 20, 2003</u>  <small>(Date)</small></p> <p style="text-align: right; margin-right: 100px;"> <u>Marianne S. Carello</u>  <small>(Typed or Printed Name of Person Mailing Correspondence)</small>    <small>(Signature of Person Mailing Correspondence)</small> </p> <p style="text-align: center; margin-top: 100px;">Note: Each paper must have its own certificate of mailing.</p>				

**RECEIVED**

DEC 04 2003



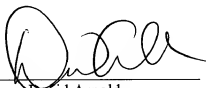
**REMARKS**

Applicant is filing concurrently herewith, but under separate cover, a Petition Under 37 CFR 1.47(a) or in the Alternative Under 37 CFR 1.182, requesting acceptance and allowance to issue of the instant application in its present form.

If there are additional charges with respect to this matter or otherwise, please charge them to Deposit Account No. 06-1130 maintained by Applicants' attorneys.

Respectfully Submitted,

CANTOR COLBURN LLP

By   
David Arnold  
Registration No. 48,894  
Customer No. 23413  
Confirmation No. 9138

Date: August 20, 2003  
Address 55 Griffin Road South, Bloomfield, CT 06002  
Telephone: (860) 286-2929



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.govCANTOR COLBURN, LLP  
55 GRIFFIN ROAD SOUTH  
BLOOMFIELD CT 06002

Serial No. : 09/431737

Applicant : Don Whitehead et al  
Filing Date : 11/01/1999  
Date Mailed : 07/21/2003

41PR-7349

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Notice of Allowance Mailed*

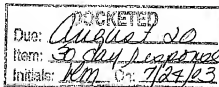
This application has been accorded an Allowance Date and is being prepared for issuance. The application, however, is incomplete for the reasons below.

Applicant is given 30 days from the mail date of this Notice within which to correct the informalities indicated below. A failure to reply will result in the application being ABANDONED. This period for reply is NOT extendable under 37 CFR 1.136 (a) or (b).

- Inventors: 7<sup>th</sup>, 8<sup>th</sup>, and 11<sup>th</sup> inventors identified by initials. Please supply at least one given name.
- 

APPLICANT MUST SUPPLY FORMAL WITHIN 30 DAYS OF THE MAIL DATE OF THIS NOTICE.

A copy of this notice MUST be returned with the reply. Please address response to "Box Issue Fee".

J B Eaddy  
Data Query  
703 305 9858

RECEIVED

DEC 04 2003

OFFICE OF PETITIONS

30-day96-1165A  
BE